

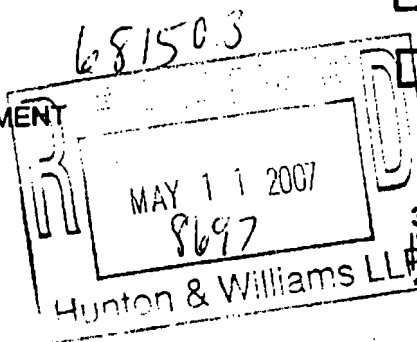


# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

U.S. APPLICATION NUMBER NO. 10/589,533	FIRST NAMED APPLICANT David Wynick	ATTY. DOCKET NO. 68150.000003
---	---------------------------------------	----------------------------------

21967  
HUNTON & WILLIAMS LLP  
INTELLECTUAL PROPERTY DEPARTMENT  
1900 K STREET, N.W.  
SUITE 1200  
WASHINGTON, DC 20006-1109



INTERNATIONAL APPLICATION NO. PCT/GB05/00188	
I.A. FILING DATE 01/18/2005	PRIORITY DATE 02/17/2004

CONFIRMATION NO. 8463  
371 FORMALITIES LETTER  
OC000000023792943

Date Mailed: 05/10/2007

## NOTIFICATION OF DEFECTIVE RESPONSE

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495)

- Indication of Small Entity Status
- Priority Document
- Copy of the International Application filed on 08/16/2006
- Copy of the International Search Report filed on 08/16/2006
- Preliminary Amendments filed on 08/16/2006
- Information Disclosure Statements filed on 08/16/2006
- Biochemical Sequence Diskette filed on 08/16/2006
- Oath or Declaration filed on 01/04/2007
- Biochemical Sequence Listing filed on 01/04/2007
- U.S. Basic National Fees filed on 01/04/2007
- Priority Documents filed on 08/16/2006

ACTION CODE	5-11-02
BASE DATE	5-11-07
DUE DATE	7-4-07
DEADLINE	12-4-07
ATTORNEYS	LHP

Applicant's response filed 01/04/2007 is hereby acknowledged. The following requirements set forth in the NOTIFICATION of MISSING REQUIREMENTS mailed 05/04/2007 have not been completed.

The applicant needs to satisfy supplemental fees problems indicated below.

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Additional claim fees of \$2505 as a small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due.
- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date. The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:
  - is not executed in accordance with either 37 CFR 1.66 or 37 CFR 1.68.

- Surcharge (for late submission of filing fee, search fee, examination fee or oath or declaration) as set forth in 37 CFR 1.492(h) of \$65 was not received.

#### SUMMARY OF FEES DUE:

Total additional fees required for this application is **\$2570** for a Small Entity:

- **\$65 Surcharge.**
- The paper or compact disc copy of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 CFR 1.821(e). Applicant must provide a substitute paper or compact disc copy of the "Sequence Listing", **as well as an amendment specifically directing its entry into the application** OR a substitute computer readable form (CRF) copy of the "Sequence Listing". These two items must be the same. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000).

**Applicant is required to complete the response within a time limit of ONE MONTH from the date of this Notification or within the time remaining in the response set forth in the Notification of Missing Requirements, whichever is the longer. No extension of this time limit may be granted under 37 CFR 1.136, but the period for response set in the Notification of Missing Requirements may be extended under 37 CFR 1.136(a).**

- Total additional claim fee(s) for this application is **\$ 2505**

Applicant is cautioned that correction of the above items may cause the specification and drawings page count to exceed 100 pages. If the specification and drawings exceed 100 pages, applicant will need to submit the required application size fee.

**For questions regarding compliance to 37 CFR 1.821-1.825 requirements, please contact:**

- **For Rules Interpretation, call (571) 272-0951**
- **For Patent Software Program Help, call Patent EBC at 1-866-217-9197 or directly at 703-305-3028 / 703-308-6845 between the hours of 6 a.m. and 12 midnight, Monday through Friday, EST.**
- **Send e-mail correspondence for Patent Software Program Help @ [ebc@uspto.gov](mailto:ebc@uspto.gov)**

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

Registered users of EFS-Web may alternatively submit their reply to this notice via EFS-Web.  
<https://portal.uspto.gov/authenticate/AuthenticateUserLocalEPF.html>

For more information about EFS-Web please call the USPTO Electronic Business Center at 1-866-217-9197 or visit our website at <http://www.uspto.gov/ebc>.

**If you are not using EFS-Web to submit your reply, you must include a copy of this notice.**

MAMIE P PERSON

---

Telephone: (703) 308-9140 EXT 227

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/589,533	PCT/GB05/00188	68150.000003

FORM PCT/DO/EO/916 (371 Formalities Notice)

## **STIC Biotechnology Systems Branch**

### **RAW SEQUENCE LISTING** **ERROR REPORT**

The Biotechnology Systems Branch of the Scientific and Technical Information Center (STIC) detected errors when processing the following computer readable form:

Application Serial Number: 10/589,533  
Source: IFWP  
Date Processed by STIC: 8/28/06

THE ATTACHED PRINTOUT EXPLAINS DETECTED ERRORS.

PLEASE FORWARD THIS INFORMATION TO THE APPLICANT BY EITHER:

- 1) INCLUDING A COPY OF THIS PRINTOUT IN YOUR NEXT COMMUNICATION TO THE APPLICANT, WITH A NOTICE TO COMPLY or,
- 2) TELEPHONING APPLICANT AND FAXING A COPY OF THIS PRINTOUT, WITH A NOTICE TO COMPLY

FOR CRF SUBMISSION AND PATENTIN SOFTWARE QUESTIONS, PLEASE CONTACT MARK SPENCER, TELEPHONE: 571-272-2510; FAX: 571-273-0221

TO REDUCE ERRORED SEQUENCE LISTINGS, PLEASE USE THE **CHECKER VERSION 4.4.0 PROGRAM**, ACCESSIBLE THROUGH THE U.S. PATENT AND TRADEMARK OFFICE WEBSITE. SEE BELOW FOR ADDRESS:

<http://www.uspto.gov/web/offices/pac/checker/chkrnote.htm>

Applicants submitting genetic sequence information electronically on diskette or CD-Rom should be aware that there is a possibility that the disk/CD-Rom may have been affected by treatment given to all incoming mail.

Please consider using alternate methods of submission for the disk/CD-Rom or replacement disk/CD-Rom.

Any reply including a sequence listing in electronic form should NOT be sent to the 20231 zip code address for the United States Patent and Trademark Office, and instead should be sent via the following to the indicated addresses:

1. EFS-Bio (<http://www.uspto.gov/ebs/efs/downloads/documents.htm>) , EFS Submission User Manual - ePAVE)
2. U.S. Postal Service: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450
3. Hand Carry, Federal Express, United Parcel Service, or other delivery service (EFFECTIVE 01/14/05):  
U.S. Patent and Trademark Office, Mail Stop Sequence, Customer Window, Randolph Building, 401 Dulany Street, Alexandria, VA 22314

Revised 01/10/06

## Raw Sequence Listing Error Summary

### ERROR DETECTED

### SUGGESTED CORRECTION

SERIAL NUMBER: 10/589,533

ATTN: NEW RULES CASES: PLEASE DISREGARD ENGLISH "ALPHA" HEADERS, WHICH WERE INSERTED BY PTO SOFTWARE

- 1      Wrapped Nucleic  
    Wrapped Aminos     The number/text at the end of each line "wrapped" down to the next line. This may occur if your file was retrieved in a word processor after creating it. Please adjust your right margin to .3; this will prevent "wrapping."
  
- 2      Invalid Line Length     The rules require that a line not exceed 72 characters in length. This includes white spaces.
  
- 3      Misaligned Amino  
    Numbering           The numbering under each 5<sup>th</sup> amino acid is misaligned. Do not use tab codes between numbers; use space characters, instead.
  
- 4      Non-ASCII           The submitted file was not saved in ASCII(DOS) text, as required by the Sequence Rules. Please ensure your subsequent submission is saved in ASCII text.
  
- 5      Variable Length       Sequence(s)      contain n's or Xaa's representing more than one residue. Per Sequence Rules, each n or Xaa can only represent a single residue. Please present the maximum number of each residue having variable length and indicate in the <220>-<223> section that some may be missing.
  
- 6      PatentIn 2.0  
    "bug"                 A "bug" in PatentIn version 2.0 has caused the <220>-<223> section to be missing from amino acid sequences(s)     . Normally, PatentIn would automatically generate this section from the previously coded nucleic acid sequence. Please manually copy the relevant <220>-<223> section to the subsequent amino acid sequence. This applies to the mandatory <220>-<223> sections for Artificial or Unknown sequences.
  
- 7      Skipped Sequences  
    (OLD RULES)          Sequence(s)      missing. If intentional, please insert the following lines for each skipped sequence:  
                           (2) INFORMATION FOR SEQ ID NO:X: (insert SEQ ID NO where "X" is shown)  
                           (i)       SEQUENCE CHARACTERISTICS: (Do not insert any subheadings under this heading)  
                           (xi)      SEQUENCE DESCRIPTION:SEQ ID NO:X: (insert SEQ ID NO where "X" is shown)  
                           This sequence is intentionally skipped  
                           Please also adjust the "(ii) NUMBER OF SEQUENCES:" response to include the skipped sequences.
  
- 8      Skipped Sequences  
    (NEW RULES)          Sequence(s)      missing. If intentional, please insert the following lines for each skipped sequence.  
                           <210> sequence id number  
                           <400> sequence id number  
                           000
  
- 9      Use of n's or Xaa's  
    (NEW RULES)          Use of n's and/or Xaa's have been detected in the Sequence Listing.  
                           Per 1.823 of Sequence Rules, use of <220>-<223> is MANDATORY if n's or Xaa's are present.  
                           In <220> to <223> section, please explain location of n or Xaa, and which residue n or Xaa represents.
  
- 10      Invalid <213>  
    Response             Per 1.823 of Sequence Rules, the only valid <213> responses are: Unknown, Artificial Sequence, or scientific name (Genus/species). <220>-<223> section is required when <213> response is Unknown or is Artificial Sequence. (see item 11 below)
  
- 11      Use of <220>       Sequence(s)      missing the <220> "Feature" and associated numeric identifiers and responses. Use of <220> to <223> is MANDATORY if <213> "Organism" response is "Artificial Sequence" or "Unknown." Please explain source of genetic material in <220> to <223> section or use "chemically synthesized" as explanation. (See "Federal Register," 06/01/1998, Vol. 63, No. 104, pp. 29631-32), also Sec. 1.823 of Sequence Rules
  
- 12      PatentIn 2.0  
    "bug"                 Please do not use "Copy to Disk" function of PatentIn version 2.0. This causes a corrupted file, resulting in missing mandatory numeric identifiers and responses (as indicated on raw sequence listing). Instead, please use "File Manager" or any other manual means to copy file to floppy disk.
  
- 13      Misuse of n/Xaa     "n" can only represent a single nucleotide; "Xaa" can only represent a single amino acid



IFWP

RAW SEQUENCE LISTING  
 PATENT APPLICATION: US/10/589,533

DATE: 08/28/2006  
 TIME: 10:35:51

Input Set : F:\68150.3 Sequence Listing.txt  
 Output Set: N:\CRF4\08282006\J589533.raw

3 <110> APPLICANT: David Wynnck  
 5 <120> TITLE OF INVENTION: Galanin Receptors and Brain Injury  
 7 <130> FILE REFERENCE: 68150.000003  
 C--> 9 <140> CURRENT APPLICATION NUMBER: US/10/589,533  
 10 <141> CURRENT FILING DATE: 2006-08-16  
 12 <150> PRIOR APPLICATION NUMBER: PCT/GB2005/000188  
 13 <151> PRIOR FILING DATE: 2005-01-18  
 15 <150> PRIOR APPLICATION NUMBER: GB 0403509.3  
 16 <151> PRIOR FILING DATE: 2004-02-17  
 18 <160> NUMBER OF SEQ ID NOS: 2  
 20 <170> SOFTWARE: PatentIn Ver. 2.1

## ERRORED SEQUENCES

22 <210> SEQ ID NO: 1  
 23 <211> LENGTH: 10  
 24 <212> TYPE: PRT  
 25 <213> ORGANISM: Synthetic  
 E--> 27 <400> SEQUENCE: 196 12 change to  
 28 Trp Thr Leu Asn Ser Ala Gly Tyr Leu Leu  
 29 1 5 10

*invalid response  
 (see item 10 on  
 Error Summary  
 sheet)*

*Does Not Comply  
 Corrected Diskette Needed*

*(same error  
 in sequence 2)*

**VERIFICATION SUMMARY**

**PATENT APPLICATION: US/10/589,533**

**DATE: 08/28/2006**

**TIME: 10:35:52**

**Input Set : F:\68150.3 Sequence Listing.txt**

**Output Set: N:\CRF4\08282006\J589533.raw**

**L:9 M:270 C: Current Application Number differs, Replaced Current Application Number**

**L:27 M:212 E: (34) Invalid or duplicate Sequence ID Number, SEQUENCE ID NOS:1 differs:196**



**PATENT**

☐ PROVISIONAL  
☒ UTILITY

☐  
☐

DESIGN  
PCT

Application No.: 10/589,533  
Client/Matter No.: 68150.000003  
Inventor(s): David WYNICK  
Title: GALANIN RECEPTORS AND BRAIN INJURY

Date: May 15, 2007  
Client: Neurotargets  
Atty/Sec.: LHP/CJN:cdh

The following has been received in the U.S. Patent and Trademark Office on the date stamped hereon:

- ☒ Response to Notification of Missing Requirements Under 35 U.S.C. § 371 in the U.S. Designated/Elected Office (DO/EO/US)
- ☒ Copy of Notification of Missing Requirements
- ☒ Copy of Withdrawal of Previously Sent Notice
- ☒ Second Preliminary Amendment
- ☒ Executed Declaration and Power of Attorney
- ☒ Substitute Sequence Listing and Statement Under 37 C.F.R. §§ 1.821 and 1.825
- ☒ CD Rom containing Sequence Listing
- ☒ Paper copy of Sequence Listing
- ☒ Check No. 2103007 In The Amount Of \$775.00
- ☒ Check No. 2103008 In The Amount Of \$65.00
- ☒ Return Receipt Postcard



DOCKETED

A 5/16/07  
B 5/16/07